

## **Sample Selection Handout**

**Major Impact:** The residents selected are representative enough of the concerns that it allowed the State Agency Team to validate or invalidate the identified concerns.

**State Agency Team Concern:** Pressure Sores

**Phase 1:** Team selects three residents for pressure sores. During the investigation, the team discovers the residents selected do not have pressure sores.

**Phase 2:** Facility's Wound Report identifies five residents with pressure sores, two facility acquired.

Team does not carry over pressure sores.

**Sample inadequate for investigating pressure sores.**

**(2) SAMPLE SELECTION**

**Effectiveness with which the Survey Team selected and modified a resident sample throughout the survey based on identified concerns and survey procedures**

RATING LEVEL	DESCRIPTION OF SURVEY TEAM BEHAVIOR
<b>5</b> <b>EXTREMELY</b> <b>EFFECTIVE</b>	<p>Over the course of the survey, the sample accurately reflected the identified concerns.</p> <p>Throughout the survey, the residents sampled were optimal for confirming or invalidating all identified concerns and investigating them as possible deficiencies.</p> <p>The sample was case-mix stratified.</p>
<b>4</b> <b>VERY EFFECTIVE</b>	<p><b>Exceeded the description for a rating of “3” but did not meet the description for a rating of “5”</b></p>
<b>3</b> <b>SATISFACTORY</b>	<p>Over the course of the survey, the sample reflected most of the identified concerns.</p> <p>Although a sample could have been selected that would have yielded more information about the identified concerns, this lack of optimality had no <u>major</u> impact on the team’s effectiveness in confirming or invalidating those concerns or investigating them as possible deficiencies.</p> <p>The sample was case-mix stratified.</p>
<b>2</b> <b>LESS THAN</b> <b>SATISFACTORY</b>	<p><b>Exceeded the description for a rating of “1” but did not meet the description for a rating of “3”</b></p>
<b>1</b> <b>MUCH LESS THAN</b> <b>SATISFACTORY</b>	<p>Over the course of the survey, the sample failed to reflect several of the concerns that were (or should have been) identified.</p> <p>The characteristics of the sample made it inadequate for confirming or invalidating the identified concerns and had a substantial impact on the team’s effectiveness in investigating them as possible deficiencies.</p> <p>The sample was <u>not</u> case-mix stratified.</p>

Rating (1-5)

Supporting Narrative

[illegible]

*Check the box beside each indicator that the team could work on to improve their performance on the measure.*

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## **SAMPLE SELECTION**

### **Participant Handout**

#### **Scenario**

The RO Evaluator, through review of Offsite materials provided by the SA Team, observations of the Initial Tour, and observation of the Phase 1 and Phase 2 sampling meeting, **has collected the following information** for evaluating the effectiveness with which the SA Team selected and modified a resident sample based on identified concerns and survey procedures:

#### **Offsite Survey Preparation**

- Three QIs flagged over the 75 percentile:
  - Behaviors
  - Falls
  - Restraints
- Additional Concerns were identified for:
  - Pain
  - Specialized Rehab
- Offsite sample selected represented all concerns but restraints.

#### **Initial Tour**

- No new concerns were identified by the SA Team.
- The RO Evaluator noted 6 residents were restrained in their wheelchairs, 3 with vest restraints and 3 with lap restraints. One resident was in bed wearing a vest restraint. The SA surveyor did not make notes of these restraints, nor did he ask the facility nurse, who was touring with him, about the restraints.
- The RO Evaluator toured with another state surveyor on the Alzheimer's Unit. The facility staff identified ten residents with aggressive behaviors. Two residents were identified as exhibiting physical abuse to other residents and three residents who had eloped from the facility. The facility nurse further reported that all residents were on a behavior program and were under control.
- A third state surveyor toured the skilled Medicare Unit. During the tour, three residents expressed to the surveyor they were experiencing excruciating pain and the medication was providing relief. Four residents complained that they were not receiving assistance with ambulation and physical therapy.